

C5. Chapter 5

INTERAGENCY INFORMATION REQUIREMENTS

C5.1. PURPOSE

The purpose of this chapter is to document the procedures required for DoD Components to develop, revise, and cancel interagency reports imposed on other Federal Agencies by the Department of Defense. It also specifies the responsibilities of DoD Components for responding to interagency reporting requirements imposed on DoD by other Federal Agencies. The Interagency Reports Management Program functions to ensure that interagency information requirements are based on need, are cost-effective, and comply with applicable laws and regulations.

C5.2. SCOPE

C5.2.1. This chapter covers the procedures for DoD Components to follow when imposing interagency information requirements on one or more other Federal Agencies.

C5.2.1.1. Interagency information requirements are reviewed and cleared by the GSA and are subject to the provisions of 41 CFR, Subchapter B, Subpart 101-11.204, (reference (j)).

C5.2.1.2. Interagency reports that are also public information requirements require OMB approval in accordance with the provisions of 5 CFR 1320 (reference (c)). Chapter 3 of this Manual, contains procedures for obtaining OMB approval.

C5.2.1.3. Interagency reports that are also OSD internal information requirements require WHS/DIOR approval in accordance with Chapter 4 of this Manual.

C5.2.2. This chapter also covers the responsibilities of DoD Components for responding to information requirements imposed by other Federal Agencies on the Department of Defense and for the development of cost estimates for information requirements imposed by those agencies.

C5.3. DEFINITIONS

C5.3.1. Interagency Report. Data or information that is transmitted between Federal Agencies for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic, or other form and may be displayed on paper, magnetic tapes, or other media.

C5.3.2. Interagency Reporting. The process by which data or information for a report transmitted between or among Federal Agencies is collected, organized, transmitted, and retained.

C5.3.3. Interagency Reporting Requirement. Any requirement that involves a report to a Federal Agency from one or more other Federal Agencies covered by the "Federal Records Act of 1950" (reference (z)).

C5.3.4. Interagency Reports Coordinator. The DoD Interagency Reports Coordinator is organizationally assigned to WHS/DIOR and serves as the single DoD liaison official authorized to:

C5.3.4.1. Sign and submit Standard Form (SF) 360, "Request to Approve an Interagency Reporting Requirement";

C5.3.4.2. Respond to requests from requiring Agencies for interagency reports cost estimates; maintain official agency records on interagency reporting requirements; and

C5.3.4.3. Serve as liaison between Agency components and other Agencies on interagency reporting matters.

C5.3.5. Requiring Agency. An Agency establishing an interagency information requirement.

C5.3.6. Responding Agency. An Agency required to respond to an interagency information requirement.

C5.4. RESPONSIBILITIES

C5.4.1. Requiring Agency Components. DoD Components imposing information requirements on other Federal Agencies shall:

C5.4.1.1. Develop new and revised interagency reporting requirements in accordance with this Manual;

C5.4.1.2. Obtain GSA approval through WHS/DIOR for each new, revised, or extended interagency information requirement prior to implementing the requirement or in cases of urgency, as soon as possible thereafter;

C5.4.1.3. Review DoD 8910.1-L, (reference (p)) to determine if the information requirements of the proposed report can be satisfied by an existing report;

C5.4.1.4. Review existing interagency reports for possible improvements when submitting requests to extend clearances;

C5.4.1.5. Provide responding Agencies the opportunity to comment on each proposed new or revised interagency information requirement;

C5.4.1.6. Obtain GSA approval through WHS/DIOR to collect test information from other Federal Agencies to do a pilot test of the system if the estimated cost for a new or substantially revised information requirement exceeds \$500,000;

C5.4.1.7. Reinstate expired interagency information requirements; and

C5.4.1.8. Cancel interagency reports no longer required.

C5.4.2. Responding Agency Components. DoD Components responding to information requirements from other Federal Agencies shall:

C5.4.2.1. Reply within 30 calendar days to other Agencies' written requests for cost estimates concerning their existing or proposed interagency reports;

C5.4.2.2. Respond to approved interagency information requirements;

C5.4.2.3. Refrain from responding to unlicensed interagency information requirements and inform WHS/DIOR of the solicitation;

C5.4.2.4. Review the GSA "Inventory of Approved Interagency Reports" to determine if the information requirements of the proposed report can be satisfied by an existing report;

C5.4.2.5. Review existing interagency reports for possible improvements when submitting requests to extend clearances; and

C5.4.2.6. Ensure that personal information, subject to the Privacy Act (reference (o)), is authorized to be released under the special disclosure requirements set forth in DoD 5400.11-R (reference (d)).

C5.5. COVERAGE

C5.5.1. Excluded Organizations. The following organizations are exempt from interagency report control licensing:

C5.5.1.1. Legislative Branch requirements in statutes or Congressional committee requests; and

C5.5.1.2. Judicial Branch requirements in court orders or other judicial determinations.

C5.5.2. Exemptions.

C5.5.2.1. Interagency information requirements for classified information are exempt. However, unclassified interagency information requirements are not exempt, even if such information is later given a security classification by the requesting Agency;

C5.5.2.2. Operating documents routinely exchanged among Federal Agencies;

C5.5.2.3. Presidential requirements in Presidential directives (i.e., Executive Orders);

C5.5.2.4. OMB budgetary, program review and coordination; and legislative clearance requirements; and

C5.5.2.5. The United States Coast Guard by agreement with the Department of Transportation when the Coast Guard is operating as a Military Service of the Department of Defense, whose personnel are included in an approved DoD program and no other Federal Agency is involved.

C5.5.3. Special Circumstances. Questions concerning the applicability of these exclusions and exemptions shall be directed to WHS/DIOR. In many cases, although the information requirement is exempt from interagency licensing procedures, a DoD internal RCS may be required because information is collected from the DoD Components and forwarded to the requesting organization. Additionally, if DoD Components are requested to provide more information than required by the interagency information requirement, a DoD internal RCS may also be required.

C5.6. PROCEDURES TO LICENSE OR REVISE INTERAGENCY INFORMATION REQUIREMENTS

C5.6.1. Overview. The licensing process involves preliminary discussions with GSA, which should be conducted with the IMCO and the DoD Interagency Reports Coordinator (WHS/DIOR). After any preliminary discussions, the process involves the preparation of a justification statement, collection of cost estimates from responding Agencies, consolidation of cost estimates, and the preparation of a Standard Form (SF) 360, "Request to Approve an Interagency Reporting Requirement." The

SF 360, with related documentation, is sent to the DoD Component IMCO, then to WHS/DIOR, and finally to GSA. Figure C5.F1. shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

C5.6.2. Preliminary Action.

C5.6.2.1. Coordinate with IMCO. During coordination of the information requirement with the IMCO, the project officer should request determination of any interagency reports licensing that may be required. If necessary, further discussions with the DoD Interagency Reports Coordinator can be conducted in preparation for submission to GSA.

C5.6.2.2. Discussion with GSA. The Department of Defense, as requiring Agency, shall consult with GSA on proposed new or revised interagency reporting requirements before submitting the SF 360. The OSD Component IMCO and the DoD Interagency Reports Coordinator will participate in the discussion. WHS/DIOR will schedule any meetings or act as an intermediary for conducting discussions by telephone with GSA.

C5.6.3. Waiver Provisions. DoD Components seeking a waiver from justifying and estimating the cost of an information requirement shall send a written explanation of the need for the report and the waiver to WHS/DIOR who will forward the request to GSA. Waiver requests must include a summary cost estimate in item 9 of SF 360.

C5.6.4. Prepare Justification. Following any discussions with the DoD Interagency Reports Coordinator and GSA, the DoD Component shall justify the need for the report. A justification statement shall be prepared and attached to the SF 360. The justification shall:

C5.6.4.1. State why the report is needed and how it will be used;

C5.6.4.2. Describe the benefits (in dollar value if possible) expected from the information and assess the probability that the benefits will be achieved;

C5.6.4.3. Describe how the program will be affected if the information is not obtained;

C5.6.4.4. Identify any responding Agencies that took part in designing, testing, and estimating the cost of the proposed report;

C5.6.4.5. Identify the agencies that agree or do not agree with the proposed report and summarize the reasons;

C5.6.4.6. Explain how the reporting costs shown on the SF 360 were derived; and

C5.6.4.7. Describe other reporting plans considered, including:

C5.6.4.7.1. Frequency of reporting;

C5.6.4.7.2. Use of exception reporting;

C5.6.4.7.3. use of sampling techniques;

C5.6.4.7.4. Selection of respondents;

C5.6.4.7.5. Obligation of respondents to comply;

C5.6.4.7.6. Amount of detail;

C5.6.4.7.7. Format of report; and

C5.6.4.7.8. Method of transmission.

C5.6.5. Prepare OF 101, "Summary Worksheet for Estimating Reporting Costs." The DoD Component shall obtain cost estimates from the Federal Agencies who will respond to the proposed information requirement. These Agencies are required to respond within 30 calendar days. WHS/DIOR can assist the requiring office in this phase by providing the mailing addresses of the appropriate points of contact and, if necessary, follow up with the Federal Agencies. The requiring office will receive a completed OF 101 from each of the responding Agencies. Respondent estimates shall be consolidated into a single OF 101, which includes the costs calculated by the requiring office. Chapter 7 of this Manual provides detailed guidance and examples on how to prepare the cost estimate.

C5.6.6. Prepare SF 360, "Request to Approve an Interagency Reporting Requirement." An SF 360, with supporting documentation, may be submitted electronically to WHS/DIOR. An original signed SF 360 must be forwarded separately until such time as an electronic signature standard has been adopted by the Department of Defense. Figure C5.F2. provides an example of a properly completed SF 360.

The item by item instructions for preparing an SF 360 are as follows:

Item 1. For GSA Use. Self-explanatory.

Item 2. Name, Address and ZIP Code of Requesting Agency.
Self-explanatory.

Item 3. Title of Proposed Reporting Requirement.
Self-explanatory.

Item 4. Type of Request. Mark the appropriate box
regarding the type of submission.

Item 5. Frequency of Use. Mark the appropriate box
regarding the frequency of the report.

Item 6. Revisions and Extensions. Self explanatory.

Item 7. Law or Regulation(s) Requiring the Report. Self
Explanatory. Attach relevant section when required by Public Law
or United States Code.

Item 8. Canceled or Modified Reports or Forms. List by
title and Interagency Report Control Number or OMB approval
number, reports or forms to be canceled or revised by the report.

Item 9. Summary of Estimated Reporting Workload.
Self-explanatory.

Item 10. Summary of Estimated Reporting Costs. The cost
figures for this section are obtained from the OF 101 prepared
and summarized by the requiring DoD Component and also obtained
from cost estimates prepared by the responding Agencies.

10a. Column 1. This total is obtained from Item
5.f., of the OF 101 prepared by the requiring DoD Component in
accordance with Chapter 7 of this Manual.

10a. Column 2. This figure is the total of all
costs taken from Item 5.f., "Developmental Costs," of the cost
estimate prepared and submitted by the responding Agencies.

10a. Total Column. Self-explanatory.

10b. Column 2. This figure is the total of all
costs obtained from Item 10.f., "Operational Costs" of all cost
estimates.

10b. Total Column. Self-explanatory.

10c. Column 1. This figure is obtained from Item
14.f., "User Costs" of the requiring agency cost estimate.

10d. Totals Columns. Self-explanatory.

Item 11. Remarks. Self-explanatory.

Item 12. OMB Approval. Self-explanatory.

Item 13. Name of Originating Program Official information. Self-explanatory.

Item 14. Signature of Interagency Reports Coordinator. Self-explanatory.

Items 15 and 16. For GSA's Interagency Reports Use.

C5.6.7. Clear Through DoD Component Information Management Control Officer. Submit the original SF 360 package through the IMCO who will check it for completeness, duplication, proper coordination, and compliance with GSA requirements agreed to during any initial discussions. In addition, the IMCO will ensure compliance with the following programs.

C5.6.7.1. Privacy Act (reference (o)). If the information requirement requests personal information, coordinate with WHS, Directorate for Correspondence and Directives, Directives and Records Division or other Component Privacy coordinator for a determination on compliance with DoD 5400.11-R (reference (d));

C5.6.7.2. Postal. If the instrument of collection is used as a mailer, follow the procedures in DoD 4525.8-M (reference (v));

C5.6.7.3. Data Administration. If the data being collected are used to support DoD operations and decision-making or in an automated information system that requires horizontal and/or vertical sharing of data, follow the procedures in DoD 8320.1-M (reference (f));

C5.6.7.4. Reports Management Program (Public Information Requirements). If this information is also collected from members of the public, follow the procedures in Chapter 3 of this Manual;

C5.6.7.5. Reports Management Program (Internal Information Requirements). If this information is also collected within your organization, follow the procedures in Chapter 4 of this Manual; and

C5.6.7.6. Forms Management Program. If the instrument of collection should be controlled as a form, follow the procedures in DoD 7750.7-M (reference (e));

C5.6.8. Submission to WHS/DIOR.

C5.6.8.1. Reports Management Criteria. The DoD Interagency Reports Coordinator reviews all SF 360s before they are submitted to GSA. They are checked for completeness, coordination with responding Agencies, duplicate reporting, and cost-effectiveness. If there is a problem with the submission, the DoD Interagency Reports Coordinator will contact the Component IMCO submitting the package and try to resolve any problems. If a problem cannot be resolved by informal means, then the package is returned with a written explanation. The specific items checked are:

C5.6.8.1.1. Original SF 360 is submitted;

C5.6.8.1.2. SF 360 is complete and correct;

C5.6.8.1.3. OF 101 is complete and correct; and

C5.6.8.1.4. Justification is adequate.

C5.6.8.2. Privacy Act (reference (o)). WHS/DIOR reviews the proposed information collection for compliance with DoD 5400.11-R (reference (d)).

C5.6.8.3. DoD Forms Management Program. WHS/DIOR reviews the proposed information requirement to determine if the instrument of collection should be controlled as a form in accordance with DoD 7750.7-M (reference (e)).

C5.6.8.4. DoD Data Administration Program. DoD 8320.1-M (reference (f)) provides procedures for implementing the DoD Data Administration Program. It also contains procedures for identifying, standardizing, collecting, distributing, using, and disposing of DoD data.

C5.6.9. Submission to GSA. Upon approval, WHS/DIOR will submit the original SF 360, along with the supporting documentation, to GSA.

C5.6.10. Approval/Disapproval. Upon receipt, GSA will review the proposal for demonstrated need, cost-effectiveness, and coordination with other clearance authorities, and will ensure that the report does not duplicate existing interagency reports. GSA will assign an interagency report control number and an expiration date, return the SF 360 to the DoD Interagency Reports

Coordinator, and enter the report into the GSA "Inventory of Approved Interagency Reports." If GSA rejects an agency's request for a report, GSA will advise the agency, in writing, of the reasons for the rejection.

C5.6.11. Appeal Provisions. There are no appeal provisions provided for in any of the implementing regulations from GSA. If a Component wants to appeal the GSA decision, the project officer, the IMCO, and WHS/DIOR should meet to determine the best approach for the Department of Defense to obtain a favorable decision.

C5.6.12. Notification of Approval to Responding Agencies. The requiring Agency's requesting organization shall notify each responding Agency of an approved interagency reporting requirement. WHS/DIOR will add a report profile database record into the DoD inventory of interagency reports.

C5.6.13. Submission of Issuance to GSA. DoD Components shall furnish a copy of the implementing directive, instruction, or correspondence to WHS/DIOR for the official file. A copy will be forwarded to GSA by WHS/DIOR, if required.

C5.7. PROCEDURES TO EXTEND AN INTERAGENCY INFORMATION REQUIREMENT

GSA will notify Federal Agencies 90 calendar days in advance of the expiration date of an information requirement. Agencies shall submit requests for extension at least 60 calendar days before the expiration date. DoD Components shall submit their requests for extension to WHS/DIOR not later than one week before the GSA 60 day deadline.

C5.8. PROCEDURES TO CANCEL AN INTERAGENCY INFORMATION REQUIREMENT

If an interagency report is no longer needed, the requiring DoD Component shall notify GSA through the DoD Interagency Reports Coordinator and notify the responding agencies by formal correspondence. **GSA will discontinue the requirement on the expiration date unless a request for extension is received.**

C5.9. INTERAGENCY REPORT INVENTORY

C5.9.1. Overview. WHS/DIOR maintains an inventory of interagency reports, which includes data such as the interagency report control number, report title, requesting agency, authority, respondents, form numbers, estimated cost, and other data. This database is used to publish DoD 8910.1-L (reference (p)), which is used to screen proposed information collections

for duplication, to perform workload assessments, to support IRM reviews, and for general reports management activities.

C5.9.2. GSA Publication. GSA publishes the "Inventory of Approved Interagency Reports" on an annual basis. WHS/DIOR reviews this publication for new, revised, and canceled interagency reports and makes changes to the WHS/DIOR interagency reports data base.

C5.9.3. Output Reports.

C5.9.3.1. Monthly Reports to the IMCOs. Every month, WHS/DIOR sends a report to the DoD Component IMCOs, which provides the latest status of interagency reports control at the DoD level. Although WHS/DIOR receives annual information from GSA on the interagency reports, monthly reporting reflects DoD interagency reports that have been added, revised, canceled, have expired or will be expiring in the next 90 days.

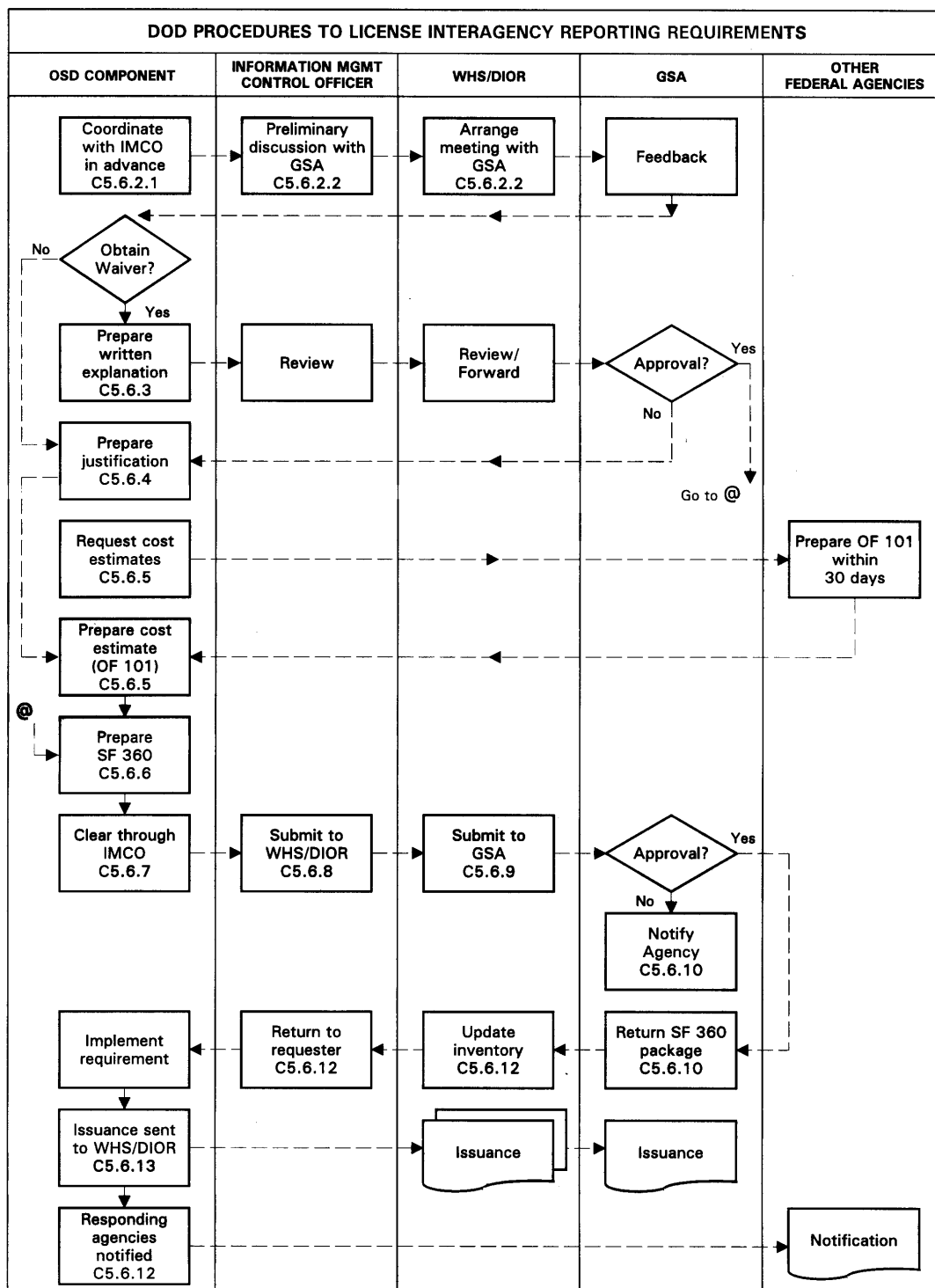


Figure C5.F1. DoD Procedures to License Interagency Reporting Requirements

REQUEST TO APPROVE AN INTERAGENCY REPORTING REQUIREMENT		FOR GSA'S INTERAGENCY REPORTS USE			
INSTRUCTIONS: Submit an original and one copy of the proposed report, the supporting directive, and a justification statement to GSA (KMAS), Washington, D.C. 20405. See FIRM (41 CFR) 201-45.6 for further instructions. NOTE: For approved reports, the interagency control number must appear in the directive requiring the report. If a form is needed to collect data, the agency must place the report control number in the upper right corner of the form. Consult with the interagency reports staff before submitting this form for clearance of a new interagency reporting requirement.		1a. REPORT CONTROL NO.			
		1b. EXPIRATION DATE			
2. NAME, ADDRESS, AND ZIP CODE OF REQUESTING AGENCY		3. TITLE OF REPORT			
Department of Defense Washington Headquarters Services Directorate for Information Operations and Reports 1215 Jefferson Davis Highway, Suite #1204 Arlington, VA 22202-4302		Licensing Interagency Reporting Requirements			
4. TYPE OF REQUEST		5. FREQUENCY OF USE		6. REVISIONS AND EXTENSIONS	
<input checked="" type="checkbox"/> a. NEW <input type="checkbox"/> b. EXTENSION (No change) <input type="checkbox"/> c. REVISION <input type="checkbox"/> d. REINSTATEMENT <input type="checkbox"/> e. WAIVER		<input type="checkbox"/> a. ONCE ONLY <input type="checkbox"/> b. ON OCCASION <input type="checkbox"/> c. WEEKLY <input type="checkbox"/> d. MONTHLY <input type="checkbox"/> e. QUARTERLY		<input type="checkbox"/> f. SEMIANNUALLY <input checked="" type="checkbox"/> g. ANNUALLY <input type="checkbox"/> h. BIENNIALY	
				6a. INTERAGENCY REPORT CONTROL NO.	
				6b. EXPIRATION DATE	
7. LAW OR REGULATION(S) REQUIRING THIS REPORT Title 41, CFR, Subchapter B, Subpart 101-11.204, "Interagency Reports Management Program"					
8. CANCELED OR MODIFIED REPORTS OR FORMS (List by title and interagency report control or OMB approval number, reports and forms to be canceled or modified by the report.)					
9. SUMMARY OF ESTIMATED REPORTING WORKLOAD		10. SUMMARY OF ESTIMATED REPORTING COSTS		TOTAL (1 + 2)	
A. NO. OF RESPONDING AGENCIES	19	A. DEVELOPMENTAL COSTS	\$	\$ 50,689	\$ 50,689
B. NO. OF TIMES THIS REPORT IS TO BE SUBMITTED YEARLY BY EACH RESPONDING AGENCY	1	B. ANNUAL OPERATING COSTS		51,616	51,616
		C. ANNUAL USER COSTS	2,937		2,937
C. TOTAL NO. OF REPORTS SUBMITTED ANNUALLY (A x B)	19	D. TOTAL	\$ 2,937	\$ 102,305	\$ 105,241
11. REMARKS The General Services Administration manages the Interagency Reports Management Program to ensure that interagency reports and recordkeeping requirements are based on need, are cost-effective, and comply with applicable laws and regulations. Each agency shall: (i) Obtain GSA approval for each new, revised, or extended interagency report, prior to implementing the report; (ii) Designate an agency-level interagency reports liaison representative and alternate, and notify GSA in writing of such designees' names, titles, mailing addresses, and telephone numbers within 30 days of the designation or redesignation; (iii) Use Standard Form (SF) 360, "Request to Approve an Interagency Reporting Requirement," to obtain GSA approval for each new, revised, or extended interagency report; (iv) Attach to each SF 360, a justification statement (signed by the official who requested the report) describing the need for the report; (v) Explain how the reporting costs shown on SF 360 were derived; (vi) Make supporting documentation for cost estimates available for GSA review; (vii) Submit to GSA and OMB simultaneously for approval, interagency reports that collect information from (continued)					
12. OMB APPROVAL (Complete only if report requires OMB approval).					
a. REQUEST SUBMITTED TO OMB		b. OMB APPROVAL NO. (if any)		c. DATE SUBMITTED	
<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO					
13a. NAME OF ORIGINATING PROGRAM OFFICIAL I. M. Official Director, Program Official's Organization		13b. TELEPHONE NO. (123) 456-7890		13c. DATE 3/1/1997	
14a. SIGNATURE OF INTERAGENCY REPORT COORDINATOR [Signed by the Interagency Report Coordinator (WHS/DIOR)]				14b. DATE 4/1/1997	
FOR GSA'S INTERAGENCY REPORTS USE					
15. DISPOSITION OF REQUEST BY GSA					
<input type="checkbox"/> a. APPROVED <input type="checkbox"/> b. RECOMMENDED MODIFICATION (See attachment) <input type="checkbox"/> c. DISAPPROVED (See attachment) <input type="checkbox"/> d. NO CLEARANCE REQUIRED					
16a. SIGNATURE OF INTERAGENCY REPORT MANAGEMENT OFFICER				16b. DATE	
AUTHORIZED FOR LOCAL REPRODUCTION Designed using Perform Pro, WHS/DIOR, Jan 98 STANDARD FORM 360 (EG) (REV. 12-88) Previous edition not usable. Prescribed by GSA - FIRM (41 CFR) 201-45.6					

Figure C5.F2. Standard Form 360, "Request to Approve an Interagency Reporting Requirement" - Sample

THIS PAGE INTENTIONALLY LEFT BLANK